PTO/SB/11 (12-97)
Approved for use through 9/30/00. OMB 0651-0031
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
der the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION

Docket Number (Optional) HS 110

A. Wesley Burks, Jr., Ricki M. Helm, Gael Cockrell, Gary A. Bannon, J. Steven Stanley, David Shin, Hugh Sampson, Applicant, Patentee, or Identifier: <u>Cesar M. Compadre, Shau K. Huang, Soheila J. Maleki, and Randall A. Kopper</u>		
Application or Patent No.: 09/267,719		
Filed or Issued: March 11, 1999		
Title: TERTIARY STRUCTURE OF PEANUT ALLERGEN ARA H 1		
I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:  NAME OF NONPROFIT ORGANIZATION Mount Sinai School of Medicine of New York University  ADDRESS OF NONPROFIT ORGANIZATION One Gustave L. Levy Place  New York, New York 10029-6574		
TYPE OF NONPROFIT ORGANIZATION:  I UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION		
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))		
NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE) (CITATION OF STATUTE)		
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA		
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE) (CITATION OF STATUTE)		
I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:		
the specification filed herewith with title as listed above.  the application identified above.  the patent identified above.		
I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).		
Each person, concern, or organization having any rights in the invention is listed below:		
□ no such person, concern, or organization exists.  □ each such person, concern, or organization is listed below.  The Board of Trustees of the University of Arkansas, 2404 North University Avenue, Little Rock, AR 72207-3608 Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430  I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))		
NAME OF PERSON SIGNING W. Patrick McGrath, Ph.D.		
TITLE IN ORGANIZATION OF PERSON SIGNING <u>Director, Office of Industrial Liaison</u>		
ADDRESS OF PERSON SIGNING Gustave L. Levy Place, Box 1675, New York, 10029		
SIGNATURE // Latrick / Le hath DATEJune 15, 2000		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/10 (1-99)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN

Docket Number (Optional) HS 110

A. Wesley Burks, Jr., Ricki M. Helm, Gael Cockrell, Gary A. Bannon, J. Steven Stanley, David Shin, Hugh Sampson,		
Applicant, Patentee, or Identifier: Cesar M. Compadre, Shau K. Huang, Soheila J. Maleki, and Randall A. Kopper		
Application or Patent No.: 09/267.719		
Title: TERTIARY STRUCTURE OF PEANUT ALLERGEN ARA H 1		
I hereby state that I am  the owner of the small business concern identified below:  an official of the small business concern empowered to act on behalf of the concern identified below:		
NAME OF SMALL BUSINESS CONCERN Panacea Pharmaceuticals, LLC		
ADDRESS OF SMALL PUSINESS CONCERN 640 Sasco Hill Road		
ADDRESS OF SMALL BUSINESS CONCERN 640 Sasco Hill Road Fairfield, Connecticut 06430		
I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.		
I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:		
the specification filed herewith with title as listed above.  the application identified above.  the patent identified above.		
If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).		
Each person, concern, or organization having any rights in the invention is listed below:  no such person, concern, or organization exists.  The Board of Trustees of the University of Arkansas, each such person, concern, or organization is listed below. 2404 North University Avenue, Little Rock, AR 72207-3608, of Mount Sinai School of Medicine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574 Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)		
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))		
NAME OF PERSON SIGNING HOWAND B. SOSIN		
TITLE OF PERSON IF OTHER THAN OWNER		
ADDRESS OF PERSON/SIGNING 640 Sasco Hill Road, Fairfield, CT 06430		
SIGNATURE DATE 5 2 00		

OIPE TO THE TRADENTERS A

PTO/SB/11 (12-97)
Approved for use through 9/30/00. OMB 0651-0031
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## STATEMENT CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION

Docket Number (Optional) HS 110

Application or Patent No.: 09/267.719 Filed or Issued: March I. 1, 1999 Title: TERTIARY STRUCTURE OF PEANUT ALLERGEN ARA H 1  I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below: NAME OF NONPROFIT ORGANIZATION:  2404 North University Avenue  Little Rock, Arkansas 72207-3608  TYPE OF NONPROFIT ORGANIZATION:  University OR OTHER INSTITUTION OF HIGHER EDUCATION  TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE)  WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE)  WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE)  STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE)  I hareby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFF 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:  I the specification filed herewith with title as listed above.  I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization are held by any person, other than the inventor, who would not qualify as a small business concern under 37 CFR 1.9(e) for purposes of paying rights in the invention under 37 CFR 1.9(e).  Each person, concern, or organization having any rights in the invention with the invention was to the invention was a small entities and that no rights to	A. Wesley Burks, Jr., Ricki M. Helm, Gael Cockrell, Gary A. Applicant, Patentee, or Identifier: Cesar M. Compadre, Sha	Bannon, J. Steven Stanley, David Shin, Hugh Sampson, u K. Huang, Soheila J. Maleki, and Randall A. Kopper		
Title: TERTIARY STRUCTURE OF PEANUT ALLERGEN ARA H I  Inereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:  NAME OF NONPROFIT ORGANIZATION The Board of Trustees of the University of Arkansas  ADDRESS OF NONPROFIT ORGANIZATION:  Little Rock, Arkansas 72207-3608  TYPE OF NONPROFIT ORGANIZATION:  UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE)  WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE)  WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE)  I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFF 1.9(c) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:  Little Rock, Are 719(c) if that person made the invention, or by any concern which would not qualify as an independent invention under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as as a small business concern under 37 CFR 1.9(d) or a nonprofit organization having rights in the invention must file separate statements as to their states as small entities and that no rights to the invention are held by any person, other than the invention, who would not qualify as as a small business concern under 37 CFR 1.9(d) or a nonprofit organization and 37 CFR 1.9(d) or a nonprofit organization and 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(d) or a nonprofit orga	Application or Patent No.: 09/267,719			
I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:  NAME OF NONPROFIT ORGANIZATION  The Board of Trustees of the University of Arkansas  ADDRESS OF NONPROFIT ORGANIZATION:  Little Rock, Arkansas 72207-3608  TYPEOF NONPROFIT ORGANIZATION:  UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE COTTATION OF STATUTE)  WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  FLOCATED IN THE UNITED STATES OF AMERICA  WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATE OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATE OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  (INTERNAL REVENUE SERVICE CODE (26 U.S.	Filed or Issued: March 11, 1999			
NAME OF NONPROFIT ORGANIZATION  ADDRESS OF NONPROFIT ORGANIZATION  2404 North University Avenue  Little Rock, Arkansas 72207-3608  TYPEOF NONPROFIT ORGANIZATION:  UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE)  (CITATION OF STATUTE  CITATION OF STATUTE  WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(e)(3))  IF LOCATED IN THE UNITED STATES OF AMERICA  WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE)  (CITATION OF STATUTE  (CITATION OF STATUTE)  Ihereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFF 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:  the specification filed herewith with title as listed above.  Thereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified above.  Thereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization are not	Title: TERTIARY STRUCTURE OF PEANUT ALLERGEN ARA H 1			
ADDRESS OF NONPROFIT ORGANIZATION  2404 North University Avenue  Little Rock, Arkansas 72207-3608  TYPE OF NONPROFIT ORGANIZATION:    University Or Or THER INSTITUTION OF HIGHER EDUCATION    TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))    NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE	I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:  NAME OF NONPROFIT ORGANIZATION  The Board of Trustees of the University of Arkansas			
TYPE OF NONPROFIT ORGANIZATION:    UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION    TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))    NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE )    WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))   IF LOCATED IN THE UNITED STATES OF AMERICA    WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE )   I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFF 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:    the specification filed herewith with title as listed above.     the patent identified above.     the patent identified above.     I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization in the invention having rights in the Invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the Invention, who would not qualify as an independent inventounder 37 CFF 1.9(e) for a nonprofit organization under 37 CFR 1.9(e).    Each person, concern, or organization having any rights in the invention is listed below.    no such person, concern, or organization having any rights in the invention is listed below.    no such person, concern, or organization is listed below.    no such person, concern, or organization in paying, or at the time of paying, the earliest of the issue fee or any maintenance of right in the sapplication or patent, inclinication of any change in status resulting in loss of entillement to small entity status prior to paying, or at the ti	ADDRESS OF NONPROFIT ORGANIZATION 2404 North University Avenue			
□ INIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  □ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  □ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE)  □ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  □ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  □ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE)  □ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE)  □ I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFF 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:  □ the specification filed herewith with title as listed above.  □ the patent identified above.  □ the patent identified above.  □ the patent identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as a small business concern under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(c) or a nonprofit organization having any rights in the invention is listed below.  □ no such person, concern, or organization having any rights in the invention is listed below.  □ no such person, concern, or organization is listed below.  □ no such person, concern, or organization is listed below.  □ no such person, concern, or organization is listed below.  □ no such person, concern, or organization is listed below.  □ no such person	Little	Rock, Arkansas 72207-3608		
NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA (NAME OF STATE)		DUCATION		
(NAME OF STATUE    WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA    WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE)    I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFF 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:    the specification filed herewith with title as listed above.   the patent identified above.   hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent invention under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).    Each person, concern, or organization having any rights in the invention is listed below.   I no such person, concern, or organization is listed below.   On such person, concern, or organization is listed below.   On such person, concern, or organization is listed below.   I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entillement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no loneer appropriate. (37 CFR 1.28(b))    Mr. Harold J. Evans   Assoc. V. P. For Legal Affai	☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE	CODE (26 U.S.C. 501(a) and 501(c)(3))		
WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))   IF LOCATED IN THE UNITED STATES OF AMERICA   WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED   STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA   (NAME OF STATE   (CITATION OF STATUTE	☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER (NAME OF STATE (CITATION OF STATUTE	STATUTE OF STATE OF THE UNITED STATES OF AMERICA		
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA (NAME OF STATE (CITATION OF STATUTE    hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:    the specification filed herewith with title as listed above.   the application identified above.   the patent identified above.   the patent identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(e) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).    Each person, concern, or organization having any rights in the invention is listed below:   no such person, concern, or organization exists.   each such person, concern, or organization is listed below.   Mount Sinai School of Medicine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574 Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430 as a chowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))    Mr. Harold J. Evans   Assoc. V.P. For Legal Affairs   University of Arkansas   University Avenue   Little Rock, AR 72207	☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL			
I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:  the specification filed herewith with title as listed above.  the application identified above.  Thereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization having rights in the invention must file separate statemets as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).  Each person, concern, or organization having any rights in the invention is listed below:  a leach such person, concern, or organization is listed below.  The such person of the decine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574.  Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430.  I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entillement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  Mr. Harold J. Evans  NAME OF PERSON SIGNING  Assoc. V.P. For Legal Affairs  University of Arkansas  2404 North University Avenue  Little Rock, AR 72207	STATES OF AMERICA IF LOCATED IN THE UNITE	D STATES OF AMERICA		
the application identified above.  the patent identified above.  I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventounder 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).  Each person, concern, or organization having any rights in the invention is listed below:    no such person, concern, or organization exists.   each such person, concern, or organization exists.   each such person, concern, or organization is listed below.  Mount Sinai School of Medicine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574  Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430   acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  Mr. Harold J. Evans  NAME OF PERSON SIGNING  Assoc. V.P. For Legal Affairs  University of Arkansas  TITLE IN ORGANIZATION OF PERSON SIGNING  Little Rock, AR 72207	I hereby state that the nonprofit organization identified at 1.9(e) for purposes of paying reduced fees to the United States	bove qualifies as a nonprofit organization as defined in 37 CFR		
regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).  Each person, concern, or organization having any rights in the invention is listed below:    no such person, concern, or organization exists.   each such person, concern, or organization exists.   each such person, concern, or organization is listed below.  Mount Sinai School of Medicine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574  Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430   acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))    Mr. Harold J. Evans   Assoc. V.P. For Legal Affairs   University of Arkansas   2404 North University Avenue   Little Rock, AR 72207	the application identified above.			
□ no such person, concern, or organization exists.  □ each such person, concern, or organization is listed below.  Mount Sinai School of Medicine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574  Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430 □ acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  Mr. Harold J. Evans  Assoc. V.P. For Legal Affairs  University of Arkansas  2404 North University Avenue  Little Rock, AR 72207	regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern			
Mount Sinai School of Medicine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574  Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430 I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))  Mr. Harold J. Evans  NAME OF PERSON SIGNING  TITLE IN ORGANIZATION OF PERSON SIGNING  ADDRESS OF PERSON SIGNING  Little Rock, AR 72207	Each person, concern, or organization having any rights in the invention is listed below:			
Mr. Harold J. Evans Assoc. V.P. For Legal Affairs University of Arkansas 2404 North University Avenue Little Rock, AR 72207	each such person, concern, or organization is listed below.  Mount Sinai School of Medicine of New York University, One Gustave L. Levy Place, New York, New York 10029-6574  Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430  I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenancee			
NAME OF PERSON SIGNING Assoc. V.P. For Legal Affairs University of Arkansas 2404 North University Avenue Little Rock, AR 72207	,	`		
TITLE IN ORGANIZATION OF PERSON SIGNING University of Arkansas 2404 North University Avenue Little Rock, AR 72207	NAME OF PERSON SIGNING	1		
ADDRESS OF PERSON SIGNING 2404 North University Avenue Little Rock, AR 72207				
	TITLE IN ORGANIZATION OF PERSON SIGNING	2404 North University Avenue		
SIGNATURE DATE DATE June 15, 2000	ADDRESS OF PERSON SIGNING	Little Rock, AR 72207		
	SIGNATURE HULL TOWN	DATE June 15, 2000		
	<u> </u>			

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

U.S.S.N.: 09/267,719

Filed: March 11, 1999

Response to Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures

and Declaration under 37 C.F.R. § 1.821 (f)

Declaration under 37 C.F.R. § 1.821(f)

I declare that the material on the diskette is identical to the enclosed paper copy of the

Sequence Listing and the sequences as filed in the application on March 11, 1999, that the

Sequence Listing does not add new matter to the application, and that all statements made on

information and belief are believed to be true and further that these statements were made with

the knowledge that willful false statements may jeopardize the validity of the application or any

patent issuing thereon.

Respectfully submitted,

Patrea L. Pabst

Reg. No. 31,284

Dated: June 19, 2000

ARNALL GOLDEN & GREGORY, LLP

2800 One Atlantic Center

1201 W. Peachtree Street

Atlanta, Georgia 30309-3450

(404) 873-8794

1247297v1

(404) 873-8795 (fax)

5

HS 110